



Dryden Flight Research Center  
Edwards, California 93523

DCP-A-002  
Revision B

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# **Dryden Centerwide Procedure**

## **Code A**

# **Handling of Unsolicited Proposals**

Electronically approved by  
Assistant Director of Management Systems

Check the list at <http://www.dfrc.nasa.gov/Business/DMS/index.html>.  
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**Document History Log**

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<b>Status Change</b>	<b>Document Revision</b>	<b>Effective Date</b>	<b>Page</b>	<b>Description of Change</b>
Baseline		09-28-98		
Revision	A	4-19-99	2, 3, 5	Changed section 1, 3.7, 3.9 & 3.10. Clarified Section 4 and incorporated DPD 8310.1, which was cancelled, into the instructions. Deleted Sections 5 & 6 and updated the Forms. Section 8 was changed to Section 6 Management System Records. Modified this Document History Page.
Revision	B	3-28-03	4, 8, 16	Added Section 3 for Objectives. Added Sections 5.1, 5.4.1, 5.8 and 5.9. Modified Sections 5.2, 5.6.1 and 5.7 to clarify roles, responsibilities, requirements, and deliverables. Added Appendixes A and B.

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## 1.0 PURPOSE OF DOCUMENT

This procedure describes the process for handling formal unsolicited proposals received at the NASA Dryden Flight Research Center (DFRC).

## 2.0 SCOPE

This procedure applies to all written formal unsolicited proposals received at DFRC regardless of the directorate/office or program for which they are intended, but does not apply to solicited proposals.

## 3.0 PROCEDURE OBJECTIVES

1. To identify submission requirements for unsolicited proposals.
2. To provide a method for assigning a document control number for internal tracking.
3. To establish a consistent approach for reviewing an unsolicited proposal by appropriate technical personnel.
4. To outline the responsibilities of personnel involved with processing unsolicited proposals.
5. To provide guidance on preparing evaluation documents for award.

## 4.0 RELEVANT DOCUMENTS

### 4.1 Authority Documents

FAR Subpart 15.6      Unsolicited Proposals

NPG 5800.1D          Grant and Cooperative Agreement Handbook

Guidance for the Preparation and Submission of Unsolicited Proposals

### 4.2 Referenced Documents

FAR Subpart 26.3      Historically Black Colleges and Universities and Minority Institutions

NFS Subpart 1815.6    Unsolicited Proposals

DCP-A-001              Using the Procurement System

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DCP-A-003	Processing NASA Research Announcements, Cooperative Agreement Notices and Joint Sponsored Research Agreements
DOP-A-005	Noncompetitive Procurement Documents

Form No.	Form Title
DFRC 31	Purchase Request/Purchase Order
DFRC 148	Proprietary Material Cover Sheet
DFRC 197	Justification for Acceptance of Unsolicited Proposal (JAUP)
DFRC 325	Proposal Budget Evaluation
NF 884	Unsolicited Proposal Evaluation Summary
NF 1356	C.A.S.E. Report on College and University Projects

## 5.0 DEFINITIONS, ACRONYMS, ABBREVIATIONS

### 5.1 Definitions

- A. Academia. Private or state supported school, university, or educational institution.
- B. Augmentation. An augmentation to a grant is issued as a supplement when work is introduced which is outside the scope of the approved proposal or when there is a need for substantial unanticipated funding. No change to the period of performance. [see § 1260.13(a)(3)]
- C. Commercial Firm. Any corporation, trust, or other organization, which is organized primarily for profit.
- D. Contract. [§ 1260.12(b)] A procurement contract is a mutually binding legal relationship obligating the seller to furnish supplies or services (including construction), and the buyer pays for them. The principal purpose of a procurement contract is to acquire, for NASA's direct use or benefit, a well-defined, specific effort clearly required for the accomplishment of a scheduled NASA mission or project. If it is determined that a procurement contract is the appropriate type of funding instrument to meet NASA's purposes, the procurement shall be conducted under the FAR and the NFS (48 CFR Chapter 18). The following general characteristics meet the criteria for use of a contract: (i) The work to be conducted is directed closely toward the solution of a specific problem; (ii) The end result is clearly defined and/or parameters and specifications are prepared in advance of the work; and (iii) NASA considers it necessary, and it is reasonable in

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consideration of the nature of the project, to exercise control over the objectives, direction, specifications, costs or methods of the research, and schedule control is desirable and feasible.

- E. Controlled Unsolicited Proposal. An unsolicited proposal that has been assigned a control number by the Acquisition Management Office.
- F. CONUS. Continental United States (50 states and District of Columbia.)
- G. Cooperative Agreement. [§ 1260.12(d)] A legal instrument used to reflect a relationship between NASA and a recipient whenever the principal purpose is the transfer of anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute and substantial involvement is expected between NASA and the recipient during performance of the activity. Under 31 U.S.C. 6305, characteristics inherent in a cooperative agreement include those that apply to a grant plus the following: (i) Substantial NASA involvement in and contribution to the technical aspects of the effort are necessary for its accomplishment, (ii) The project conducted as proposed, would not be possible without extensive NASA-university technical collaboration, and (iii) The nature of the collaboration can be clearly defined and specified in advance.
- H. Extension. [§ 1260.13(a)(4)] A grant extension is issued as a supplement in order to extend the grant beyond the expiration date, in accordance with the provision at §1260.23, Extensions, if additional time beyond the established period of performance is required to assure adequate completion of the original scope of work. NASA generally only approves such extensions within funds already made available. Any extension that would require additional funding must be supported by a proposal submitted at least three months in advance of the expiration date of the grant.
- I. Grant. [§ 1260.12(c)] A legal instrument used to reflect a relationship between NASA and a recipient whenever the principal purpose is the transfer of anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants can be research, training, or educational in nature. The following general characteristics meet the statutory criteria for use of a grant: (i) Substantial involvement not expected between NASA and the recipient when carrying out the activity; (ii) The exact course of the work and its outcome cannot be defined precisely and specific points in time for achievement of significant results cannot be realistically specified; (iii) Simplicity and economy in execution and administration

are mutually desirable; and (iv) The recipient is fairly autonomous in conducting the research.

- J. Historically Black Colleges and Universities. (HBCU) (FAR 25.301) Institutions determined by the Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.
- K. Minority Institutions. (MI) (FAR 26.301) An institution determined by the Secretary of Education to meet the requirements of 34 CFR 637.4.
- L. Multiple year grants. [§ 1260.13(a)(2)] Multiple year grants support research projects that may span several years. A Multiple Year Grant is generally selected for a period of three years in keeping with NASA's policy calling for research to be peer reviewed at least every three years. Periods approved under the Multiple Year Grant or Cooperative Agreement special condition at §1260.52, and funded at the levels specified in the special condition, are not considered to be new awards.
- M. Non-profit organization. An organization that qualifies for the exemption from taxation under section 501 of the Internal Revenue Code of 1954, as amended, 26 U.S.C. 501.
- N. NASA Research Announcement. (NRA) An NRA is used to announce research interests in support of NASA's programs, and, after peer or scientific review using factors in the NRA, select proposals for funding. Unlike an RFP containing a statement of work or specification to which Offerors are to respond, an NRA provides for the submission of competitive project ideas, conceived by the Offerors, in one or more program areas of interest. NRAs may result in grants, contracts or cooperative agreements.
- O. Offeror. Individual or legal representative who submits the unsolicited proposal for consideration.
- P. Progress report. A concise statement of work accomplished during the report period (see §§ 1260.22 and 1260.75(b)(3)).
- Q. Renewals. [§ 1260.13(a)(5)] Grant renewals provide for continuation of research beyond the original scope, period of performance and funding levels. Grant renewals will be awarded as new grants. New proposals, certifications and technical evaluations are required prior to the execution of a grant renewal. Continued performance within a period specified under the Multiple Year Grant provision does not constitute a renewal.

- R. Summary of research. A document summarizing the results of the entire project, which includes bibliographies, abstracts, and lists of other media in which the research was discussed.
- S. Technical Evaluating Office. The cognizant office over the area of research proposed in the unsolicited proposal. This is the office that will conduct the technical evaluation.
- T. Technical Officer. A person assigned by the Technical Evaluating Office to perform the technical evaluation of the unsolicited proposal. After award of the grant or cooperative agreement, the Technical Officer has the responsibility of administering (technical monitoring and performance evaluation) of the proposed research.
- U. Unsolicited Proposal. A written proposal submitted to NASA on the initiative of the Offeror (independently originated) for the purpose of obtaining a contract (or other agreement) with the Government, which is not in response to a formal or informal request (other than a NASA request constituting a publicized general statement of needs). It must demonstrate an innovative and unique concept or capability, contain sufficient technical and cost information to permit a meaningful evaluation, and present a product or service not otherwise available that would contribute to NASA's mission. (See FAR 15.6, NFS 1815.6, and NPG 5800.1).
- V. Unsolicited Proposal Coordinating Office (UPCO). A point of contact established within DFRC to coordinate the receipt, evaluation, and disposition of unsolicited proposals. The UPCO is the Acquisition Management Office.
- W. Unsolicited Proposal Evaluation Request Package. Includes the following:
  - 1) Original Signed Proposal.
  - 2) DFRC 148. Proprietary Material Cover Sheet (See FAR 15.609)
  - 3) DFRC 197. Justification for Acceptance of Unsolicited Proposal (JAUP) (See DOP-A-005)
  - 4) DFRC 325. Proposal Budget Evaluation
  - 5) NASA Form 884. Unsolicited Proposal Evaluation Summary
  - 6) NASA Form 1356. Committee on Academic Science and Engineering (C.A.S.E.) Report on College and University Projects

## 6.0 PROCEDURES / GUIDANCE

This procedure relates to the receipt, processing, evaluation, and award of all unsolicited proposals received at DFRC. All unsolicited proposals are to be forwarded to the Acquisition Management Office (AMO), Code A/MS: D-1422.

	<i>Actionee</i>	<i>Action</i>
6.1	Offeror	<p>The Offeror prepares and submits the unsolicited proposal in accordance with the NASA Handbook titled "Guidance for the Preparation and Submission of Unsolicited Proposals". The handbook is available at <a href="http://ec.msfc.nasa.gov/hq/library/unSol-Prop.html">http://ec.msfc.nasa.gov/hq/library/unSol-Prop.html</a>.</p> <p>The Offeror's contact with agency technical personnel prior to proposal submission is permissible and is encouraged to determine if preparation of a formal proposal is warranted. Discussions with the potential Offeror will be confined to the limited objectives of conveying an understanding of the agency mission and needs relative to the type of effort contemplated. Within this scope, these discussions do not jeopardize the unsolicited status of the subsequently submitted proposals.</p>
6.2	Grant Officer	<p>Upon receipt of an unsolicited proposal, the AMO will forward the unsolicited proposal to the Grant Officer responsible for coordinating unsolicited proposals. The Grant Officer will review the package for completeness and type. The 5 different types of award action that may result from an unsolicited proposal are:</p> <ul style="list-style-type: none"> <li>• New Award [§ 1260.13(a)(1)]</li> <li>• Multi-Year Award [§ 1260.13(a)(2)]</li> <li>• Renewal [§ 1260.13(a)(5)]</li> <li>• Extension [§ 1260.13(a)(4)]</li> <li>• Augmentation [§ 1260.13(a)(3)]</li> </ul> <p>A no-cost extension to a grant requires only a written request for approval. The Offeror submit a proposal only when additional funding is required with the extension. (See § 1260.23) If the unsolicited proposal package is incomplete, the Grant Officer will request the Offeror to send the missing information or documentation. The required documentation for each action is shown below.</p>

Check the list at <http://www.dfrc.nasa.gov/Business/DMS/index.html>.  
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Required Documentation for an Unsolicited Proposal	Type of Award Action				
	New Award	Renewal	Multi-Year Renewal	Extension	Augmentation
<b>Required Documents</b>					
Endorsed Technical Proposal	X	X		X	X
Detailed Budget/Narrative (Use format in Exhibit A, Budget Summary)	X	X		X	X
Travel/equipment justification (required if more than half of proposed budget)	X	X		X	X
Certifications	X	X			
Taxpayer Identification Number (TIN)	X	X			
CAGE Code	X	X			
Technical Progress Report [see §§ 1260.22 and 1260.75(b)(3)]			X		

- 6.3 Grant Officer Once the unsolicited proposal is determined to be complete, the Grant Officer will start an Official file of the unsolicited proposal and assign a Document Control Number (DCN) to the package. The DCNs are in the Unsolicited Proposal Log maintained by the AMO. Proposals for Renewals, Extensions and Augmentations are issued as supplements to the original award and therefore, are identified by the original award number rather than a DCN.

The Grant Officer sends a letter to the Offeror acknowledging the receipt of the unsolicited proposal.

- 6.4 Grant Officer The Grant Officer forwards the controlled unsolicited proposal along with a letter of instructions, *Request for Technical Evaluation*, to the cognizant program/project office requesting a technical evaluation.

- 6.4.1 Grant Officer Depending on the proposed type of action, the Grant Officer will attach the appropriate evaluation documents to the *Request for Technical Evaluation*.

Evaluation Documentation	Type of Award Action				
	New Award	Renewal	Multi-Year Renewal	Extension	Augmentation
<b>Required Forms or Documents</b>					
A-26—Evaluation Package Checklist	X	X			
NF 884—Technical Evaluation	X	X		X	X
DFRC 197—Justification for Acceptance of an Unsolicited Proposal (JAUP)	X	X			
NF 1356—C.A.S.E. Report	X	X			
DFRC 325—Proposal Budget Evaluation	X	X		X	X

Check the list at <http://www.dfrc.nasa.gov/Business/DMS/index.html>.  
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- 6.4.2 Grant Officer If the unsolicited proposal meets additional criteria, the unsolicited proposal may require additional processing:
- (1) If an unsolicited proposal is \$500,000 or greater, then an informal legal review should be performed.
  - (2) If an unsolicited proposal is from a MI or a HBCU, a copy of the proposal will be forwarded to the Equal Opportunity Office for minority evaluation.
  - (3) If an unsolicited proposal is from outside CONUS, a copy of the proposal will be forwarded to the Technology Transfer Office and Legal Office for evaluation.
  - (4) Copies of unsolicited proposals from academia will be forwarded to the Education Office (Code N).
  - (5) When a controlled unsolicited proposal has congruence to a NRA, the proposal will be forwarded to the office administering the NRA for technical evaluation (See DCP-A-003).
- 6.5 Technical Evaluating Office Upon receipt of a *Request for Technical Evaluation* for a controlled unsolicited proposal from the AMO, the Technical Evaluating Office selects a Technical Officer to perform the technical evaluation and to serve as the technical monitor if the proposal becomes a grant or cooperative agreement.
- 6.6 Technical Officer The Technical Officer will detail his/her findings on the required evaluation documents and return the evaluation package to the AMO within 14 days of the date of the request. The Technical Officer will follow-up with the Resource Management Office (RMO) to determine funding for the proposal. Completion of the technical evaluation and search for funds is limited to a total of 45 days.
- 6.6.1 Technical Officer Based on the evaluation of the unsolicited proposal, the Technical Officer determines if it should be funded for award. If the unsolicited proposal is selected for award, then the Technical Officer recommends the selection of the appropriate award instrument: a contract, a grant, or a cooperative agreement. To determine the award instrument, the Technical Officer will fill out the worksheet in Appendix B, *Choice Of Award Instrument*. If the award instrument is a contract, then the unsolicited proposal will be processed in accordance with DCP-A-001.
- 6.6.2 Technical Officer If the Technical Officer decides not to process the unsolicited proposal for award due to funding or technical reasons; then

the Technical Officer will note the reason for not accepting the unsolicited proposal and return the proposal along with its evaluation to the AMO. The Technical Officer may recommend that the proposal be submitted to other organizations, at DFRC or other NASA centers, whose missions may bear a relationship to the subject matter of the proposal. Upon receipt of the written technical evaluation, the AMO will issue a notification to the Offeror of the center's decision to reject the proposal.

- |     |               |  |
|-----|---------------|--|
| 6.7 | Grant Officer | Upon receipt of the evaluation package from the Technical Officer, the Grant Officer will review the package to determine if all evaluation documents have been prepared correctly and funding as been provided. The Grant Officer shall validate the award instrument selection. The DFRC 325, <i>Proposal Budget Evaluation</i> , is used to prepare the Budget Summary, Exhibit A. In addition, the Grant Officer will prepare the distribution document for the award instrument.  |
| 6.8 | Grant Officer | If the Offeror is a commercial firm, then the AMO will prepare the award. Otherwise, the Unsolicited Proposal package should be forwarded to the Glenn Research Center (GRC) for award. The Grant Officer prepares a cover letter for the Unsolicited Proposal package sent to GRC. The cover letter will note the DCN and the Technical Officer.  |
| 6.9 | Grant Officer | <p>Once the unsolicited proposal has been selected for award as a grant or cooperative agreement, information regarding the selection shall be forwarded via electronic mail to the Congressional Inquiries Division, Office of Legislative Affairs at NASA Headquarters. This information should be provided within 48 hours of grant selection and at least 48 hours prior to notifying the selectees. The Office of Legislative Affairs will use this information to notify Members of Congress of selections of research proposals submitted by individuals or organizations located in their States/Congressional Districts. The following information shall be provided:</p> <ul style="list-style-type: none"><li>• A brief description of the subject matter of the proposal.</li><li>• Title of selected proposal</li><li>• Institution Name</li><li>• The total value of the selected proposal.</li><li>• Period performance covered by the selected proposal.</li><li>• Name of the Principal Investigator(s)</li><li>• Full address of the Institution including nine digit zip code</li><li>• Congressional District number of selectee's address</li></ul> |

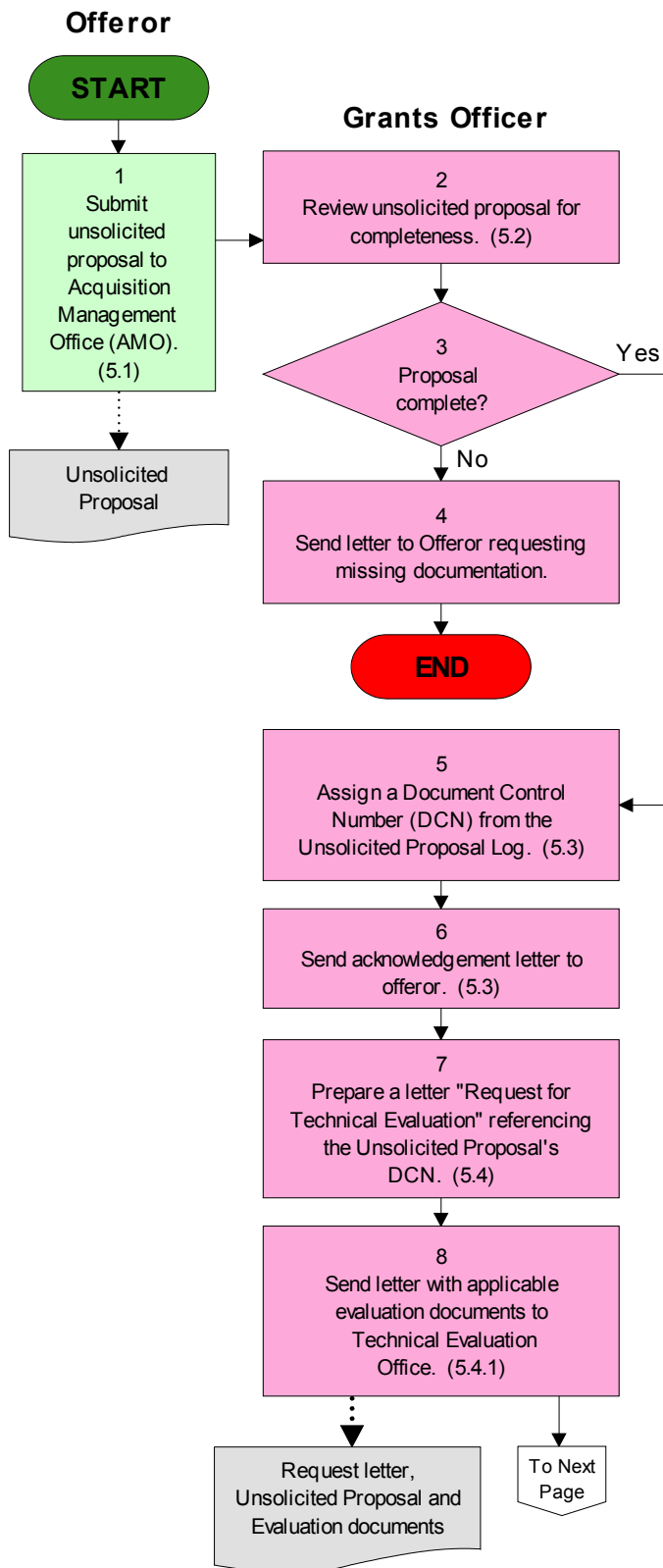
## **7.0 METRICS & TREND ANALYSIS**

Time to award as measured from receipt of the unsolicited proposal to award of the grant or cooperative agreement.

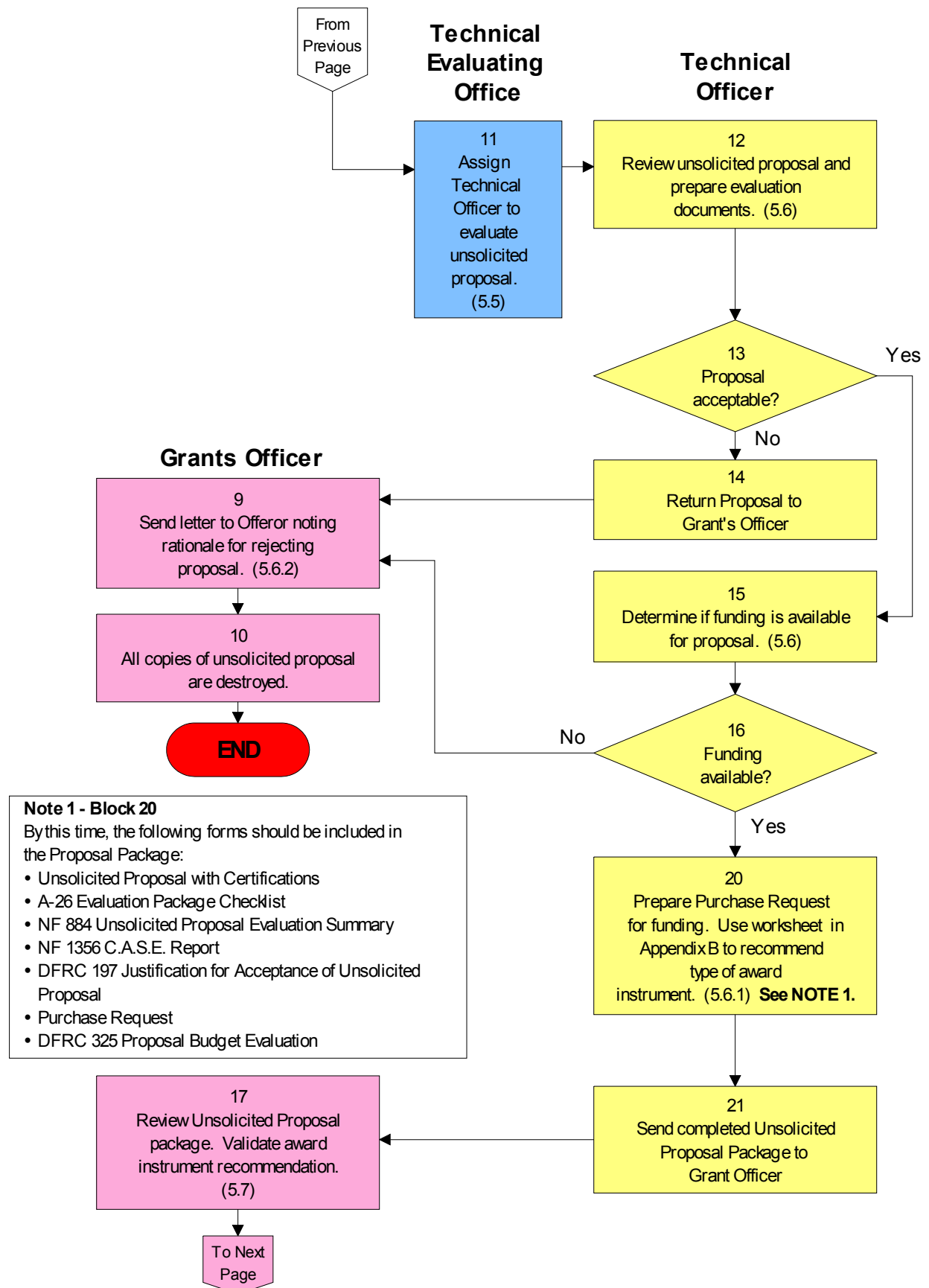
## **8.0 MANAGEMENT RECORDS & RECORDS RETENTION**

All forms and records for processing the unsolicited proposal are filed in either the contract file or grant file depending on the type of award. These files are maintained in the Acquisition Management Office.

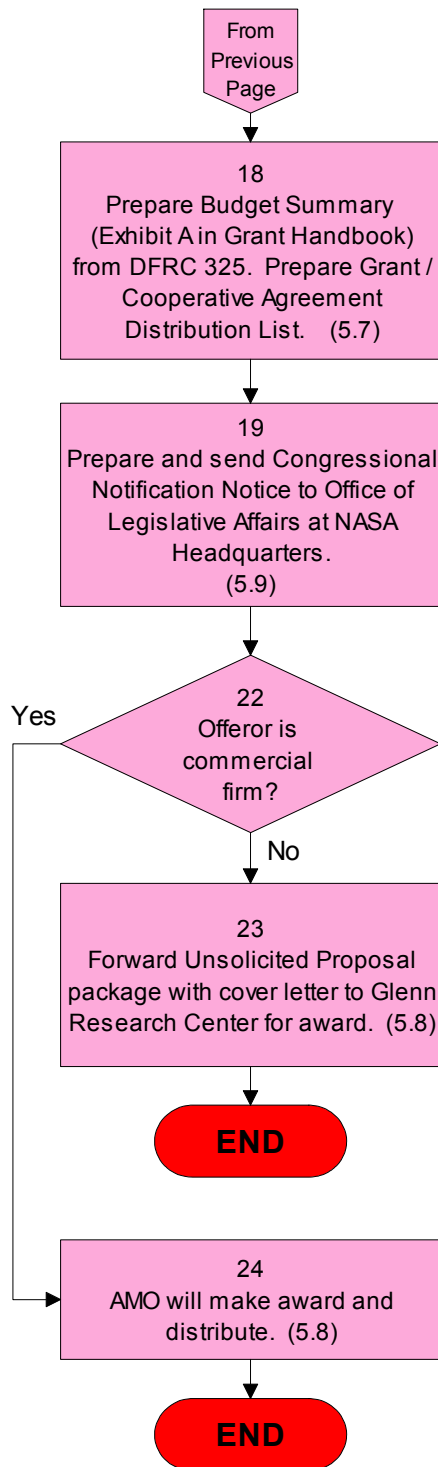
## Appendix A – Unsolicited Proposal Process Flowchart



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**Grants Officer**

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## Appendix B – Choice of Award Instrument

The decision whether to use a contract, grant or cooperative agreement as an award instrument must be based on the principal purpose of the award and its intended beneficiary. When NASA, within its authority, enters into a transaction where the principal purpose is to accomplish a public purpose of support or stimulation authorized by Federal statute, a grant or a cooperative agreement is the appropriate instrument. The primary beneficiary is the public, as opposed to NASA, though there may be an indirect benefit or use to NASA. Conversely, if the principal purpose of a transaction is to accomplish a NASA requirement, i.e., to produce something for NASA's direct benefit or use, a procurement contract is the appropriate instrument. In this case, NASA provides the specifications for the project; or is having the project completed based on its own identified needs; or will directly use the report or result of the project for a scheduled NASA mission (See § 1260.12(f)).

In determining the principal purpose of the unsolicited proposal, answer the questions below and follow the instructions.

- 
1. Will NASA be directly harmed in furthering a specific NASA mission requirement if the effort is not accomplished? ☐ YES ☐ NO  
*(If you answer no, go to Line No. 2. For yes, go to Line No. 4.)*
  2. Is the work being performed by the recipient primarily for its own purposes, which NASA is merely supporting with financial or other assistance? ☐ YES ☐ NO  
*(If you answer no, go to Line No. 4. For yes, go to Line No. 3.)*
  3. Is substantial NASA involvement in and contribution to the technical aspects of the effort necessary for the accomplishment of the proposed project? This could involve an active role in collaborative relations, access to a NASA site or equipment, or sharing NASA facilities and personnel. ☐ YES ☐ NO  
*(If you answer no, go to Line No. 5. For yes, go to Line No. 6.)*
  4. The appropriate award instrument is a contract. The proposed effort is a NASA requirement. The principal purpose is the purchase for the direct use or benefit of NASA's well-defined specific effort clearly required for the advancement of a programmed NASA mission or project. NASA considers it necessary, and it is reasonable in consideration of the nature of the project, to exercise control over the objectives, direction, specifications, costs or methods of the research, and schedule control is desirable and feasible.
  5. The appropriate award instrument is a grant. The principal purpose is to accomplish a NASA objective through stimulating or supporting the acquisition of knowledge or understanding of the subject or phenomena under study, or attempting to determine and exploit the potential of scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques and advance the state of the art. NASA desires, or the nature of the proposed investigation is such, that the grantee will bear prime responsibility for the conduct of the research, and exercises judgment and original thought toward attaining the scientific effectiveness.
  6. The appropriate award instrument is a cooperative agreement. The proposed efforts include the characteristics of a grant as outlined in Line No. 5 plus substantial NASA involvement in and contribution to the technical aspects of the effort. The proposed project would not be possible without extensive NASA-university technical collaboration. The nature of the collaboration is clearly defined and specified in advance.